U.S. DEPARTMENT OF EDUCATION

Office of Postsecondary Education
Washington, DC 20006-8510

APPLICATION FOR GRANTS UNDER THE STUDENT SUPPORT SERVICES PROGRAM

(CFDA NUMBER: 84.042A)

Form Approved
OMB No. 1840 - 0017, Exp. Date 06/30/2003

CLOSING DATE: September 15, 2000

Student Support Services Program

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Dear Applicant:

Thank you for your interest in applying for a grant under the Student Support Services (SSS) program. This letter highlights a few items in the application package that will be important to you in applying for a grant. You should, however, review the entire application package carefully before preparing and submitting your application.

Please note the following provisions:

1. Eligible applicants include institutions of higher education and combinations of institutions of higher education.

2. In an effort to facilitate an effective application evaluation process, we request all applicants to adhere to the program narrative limitation of one hundred (100) pages. Applications that exceed this number will not be reviewed and will be returned to the applicant.

3. To further expedite the reading process, you should also follow the format for PART III - Program Narrative - that is provided in the application booklet. While you are required to submit a signed original application and two copies of your application, your voluntary submission of a signed original and 3 copies would help to expedite the review process.

4. All applicants for multi-year awards must provide detailed budget information for the total grant period requested. The Department will negotiate the funding levels for each year of the grant award at the time of the initial award. Your submission of detailed budget information in the initial application covering the total project period eliminates the need for extensive non-competing continuation applications in the remaining project years. An annual performance report will be used in place of the continuation application to determine progress.

Currently funded Student Support Services grantees should note that prior experience will be assessed for Program Years 1997-98, 1998-99 and 1999-2000.

The application must be postmarked or hand delivered on or before the deadline date. Detailed mailing instructions are provided in the "Application Transmittal Instructions". Applications submitted late will not be accepted. The Department is required to enforce the established deadline to ensure fairness to all applicants. No changes or additions to an application will be accepted after the deadline date.

For additional information regarding this application package, please contact Deborah Walsh by writing to the Office of the Federal TRIO Programs, U.S. Department of Education, 1990 K Street, NW, Suite 7000, Washington, D.C. 20006-8510, ATTN: CFDA 84.042A, by telephone at (202) 502-7600, or by Internet at TRIO@ed.gov.

Best regards,

Claudio R. Prieto
Deputy Assistant Secretary
for Higher Education Programs

Federal TRIO Programs

2000 Annual "Low Income" Levels
(Effective February 2000 until further notice)

Size of Family Unit	48 Contiguous States D.C., and Outlying Jurisdictions	Alaska	Hawaii
1	$12,525	$15,645	$14,385
2	$16,875	$21,090	$19,395
3	$21,225	$26,535	$24,405
4	$25,575	$31,980	$29,415
5	$29,925	$37,425	$34,425
6	$34,275	$42,870	$39,435
7	$38,625	$48,315	$44,445
8	$42,975	$53,760	$49,455

The term "low-income individual" means an individual whose family's taxable income for the preceding year did not exceed 150% of the poverty level amount. The figures shown under family income represent amounts equal to 150% of the family income levels established by the Census Bureau for determining poverty status.

For family units with more than 8 members, add the following amount for each additional family member: $4,350 for the 48 Contiguous States, the District of Columbia and outlying jurisdictions; $5,445 for Alaska; and $5,010 for Hawaii. The poverty guidelines were published by the U.S. Department of Health and Human Services in the Federal Register, Vol. 65, No. 31, February 15, 2000, pp. 7555-7557.

Instructions for Transmitting Applications

An application for an award must be mailed or hand delivered by the closing date.

Applications Delivered by Mail

An application sent by mail must be addressed to the U.S. Department of Education, Application Control Center, Attention: CFDA Number 84.042A, 400 Maryland Avenue, SW, Washington, DC 20202-4725.

An application must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service Postmark.
(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
(3) A dated shipping label, invoice, or receipt from a commercial carrier.
(4) Any other proof of mailing acceptable to the U.S. Secretary of Education.

If an application is sent through the U.S. Postal Service, the Secretary does not accept either of the following as proof of mailing:

(1) A private metered postmark, or
(2) A mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first-class mail.

Applications Delivered by Hand/Courier Service

An application that is hand delivered must be taken to the U.S. Department of Education, Application Control Center, Room 3633, Regional Office Building #3, 7th and D Streets, SW, Washington, DC.

The Application Control Center will accept deliveries between 8:00 a.m. and 4:30 p.m. (Washington, DC time) daily, except Saturdays, Sundays and Federal holidays.

Individuals delivering applications must use the D Street entrance. Proper identification is necessary to enter the building.

In order for an application sent through a Courier Service to be considered timely, the Courier Service must be in receipt of the application on or before the closing date.

Executive Order 12372 -- Intergovernmental Review

This publication by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). This publication incorporates the most recent revisions made by OMB. The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. However, the only official version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site **http://www.whitehouse.gov/omb/grants/spoc.html**.

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay $305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version http://www.whitehouse.gov/omb/grants/spoc.html. States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

ARIZONA Joni Saad Arizona State Clearinghouse 3800 N. Central Avenue Fourteenth Floor Phoenix, Arizona 85012 Telephone: (602) 280-1315 FAX: (602) 280-8144 Jonis@ep.state.az.us	**ARKANSAS** Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services Department of Finance and Administration 1515 7th Street, Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 Tlcopeland@dfa.state.ar.us
CALIFORNIA Grants Coordination State Clearinghouse Office of Planning and Research P.O. Box 3044, Room 222 Sacramento, California 95812-3044 Telephone: (916) 445-0613 FAX: (916) 323-3018 State.clearinghouse@opr.ca.gov	**DELAWARE** Charles H. Hopkins Executive Department Office of the Budget 540 S. Dupont Highway , 3rd Floor Dover, Delaware 19901 Telephone: (302) 739-3323 FAX: (302) 739-5661 Chopkins@state.de.us

DISTRICT OF COLUMBIA Ron Seldon Office of Grants Management and Development 717 14th Street, NW, Suite 1200 Washington, DC 20005 Telephone: (202) 727-1705 FAX: (202) 727-1617 Ogmd-ogmd@dcgov.org	**FLORIDA** Cherie L. Trainor Florida State Clearinghouse Department of Community Affairs 2555 Shumard Oak Blvd. Tallahassee, Florida 32399-2100 Telephone: (850) 922-5438 Telephone: (850) 414-5495 (direct) FAX: (850) 414-0479 Cherie.trainor@dca.state.fl.us
GEORGIA Georgia State Clearinghouse 270 Washington Street, SW Atlanta, Georgia 30334 Telephone: (404) 656-3855 FAX: (404) 656-7901 Gach@mail.opb.state.ga.us	**ILLINOIS** Virginia Bova Department of Commerce and Community Affairs James R. Thompson Center 100 West Randolph, Suite 3-400 Chicago, Illinois 60601 Telephone: (312) 814-6028 FAX: (312) 814-8485 vbova@commerce.state.il.us
IOWA Steven R. McCann Division of Community and Rural Development Iowa Department of Economic Development 200 East Grand Avenue Des Moines, Iowa 50309 Telephone: (515) 242-4719 FAX: (515) 242-4809 Steve.mccann@ided.state.ia.us	**KENTUCKY** Kevin J. Goldsmith, Director Sandra Brewer, Executive Secretary Intergovernmental Affairs Office of the Governor 700 Capitol Avenue Frankfort, Kentucky 40601 Telephone: (502) 564-2611 FAX: (502) 564-0437 Kgoldmkgosmith@mail.state.ky.us Sbrewer@mail.state.ky.us
MAINE Joyce Benson State Planning Office 184 State Street 38 State House Station Augusta, Maine 04333 Telephone: (207) 287-3261 Telephone: (207) 1461 (direct) FAX: (207) 287-6489 Joyce.benson@state.me.us	**MARYLAND** Linda Janey Manager, Clearinghouse and Plan Review Unit Maryland Office of Planning 301 W. Preston Street – Room 1104 Baltimore, Maryland 21201-2305 Telephone: (410) 767-4490 FAX: (410) 767-4480 linda@mail.op.state.md.us

MICHIGAN	MISSISSIPPI
Mr. Richard Pfaff Southeast Michigan Council of Governments 660 Plaza Drive – Suite 1900 Detroit, Michigan 48226 Telephone: (313) 961-4266 FAX: (313) 961-4869 pfaff@semcog.org	Catherine Mallette Clearinghouse Officer Department of Finance and Administration 550 High Street 303 Walters Sillers Building Jackson, Mississippi 39201-3087 Telephone: (601) 359-6762 FAX: (601) 359-6758
MISSOURI	**NEVADA**
Lois Pohl Federal Assistance Clearinghouse Office of Administration P.O. Box 809 Jefferson Building, Room 915 Jefferson City, Missouri 65102 Telephone: (573) 751-4834 FAX: (573) 522-4395 pohll_@mail.oa.state.mo.us	Heather Elliott Department of Administration State Clearinghouse 209 East Musser Street, Room 200 Carson City, Nevada 89701-4298 Telephone: (775) 684-0209 FAX: (775) 684-0260 Helliot@govmail.state.nv.us
NEW HAMPSHIRE	**NEW MEXICO**
Jeffrey H. Taylor Director, New Hampshire Office of State Planning Attn: Intergovernmental Review Process Mike Blake 2½ Beacon Street Concord, New Hampshire 03301 Telephone: (603) 271-2155 FAX: (603) 271-1728 Jtaylor@osp.state.nh.us	Ken Hughes Local Government Division Room 201, Bataan Memorial Building Santa Fe, New Mexico 87503 Telephone: (505) 827-4370 FAX: (505) 827-4948 Khughes@dfa.state.nm.us
NORTH CAROLINA	**NORTH DAKOTA**
Jeanette Furney Department of Administration 1302 Mail Service Center Raleigh, North Carolina 27699-1302 Telephone: (919) 807-2323 FAX: (919) 733-9571 Jeanette.furney@ncmail.net	Jim Boyd Division of Community Services 600 East Boulevard Ave, Dept 105 Bismark, North Dakota 58505-0170 Telephone: (701) 328-2094 FAX: (701) 328-2308 Jboyd@state.nd.us

RHODE ISLAND Kevin Nelson Department of Administration Statewide Planning Program One Capitol Hill Providence Rhode Island 02908-5870 Telephone: (401) 222-2093 FAX: (401) 222-2083 knelson@doa.state.ri.us	**SOUTH CAROLINA** Omeagia Burgess Budget and Control Board Office of State Budget 1122 Ladies Street – 12th Floor Columbia, South Carolina 29201 Telephone: (803) 734-0494 FAX: (803) 734-0645 Aburgess@budget.state.sc.us
TEXAS Denise S. Francis Director, State Grants Team Governor's Office of Budget and Planning P.O. Box 12428 Austin, Texas 78711 Telephone: (512) 305-9415 FAX: (512) 936-2681 dfrancis@governor.state.tx.us	**UTAH** Carolyn B. Wright Utah State Clearinghouse Governor's Office of Planning and Budget State Capitol – Room 114 Salt Lake City, Utah 84114 Telephone: (801) 538-1535 FAX: (801) 538-1547 cwright@gov.state.ut.us
WEST VIRGINIA Fred Cutlip, Director Community Development Division West Virginia Development Office Building #6, Room 553 Charleston, West Virginia 25305 Telephone: (304) 558-4010 FAX: (304) 558-3248 fcutlip@wvdo.org	**WISCONSIN** Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street – 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 FAX: (608) 267-6931 jeffrey.smith@doa.state.wi.us
WYOMING Sandy Ross Department of Administration and Information 2001 Capitol Avenue, Room 214 Cheyenne, Wyoming 82002 Telephone: (307) 777-5492 FAX: (307) 777-3696 sross1@missc.state.wy.us	**GUAM** Director Bureau of Budget and Management Research Office of the Governor P.O. Box 2950 Agana, Guam 96932 Telephone: 011-671-472-2285 FAX: 011-671-472-2825 jer@ns.gov.gu

PUERTO RICO	NORTHERN MARIANA ISLANDS
Norma Burgos / Jose E. Caro Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940 Telephone: (787) 727-4444 (PRPB) Telephone: (787) 723-6190 (FPRO) FAX: (787) 724-3270	Mr. Alvaro A. Santos Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: 011-670-664-2256 FAX: 011-670-664-2272 omb.villagomez@saipan.com
THE UNITED STATES VIRGIN ISLANDS Ira Mills Director, Office of Management & Budget No. 41 Norregade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Irmills@usvi.org	

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Appendix

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# 84.042A
U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. <u>DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS</u>.

Supplemental Information

INTRODUCTION: The following information supplements the information provided in the "Dear Applicant" letter, the "Notice Inviting Applications for New Awards," and the remainder of this application booklet.

A. Criteria and Priority for Funding

All applications for funding under the Student Support Services Program will be evaluated as new submissions according to the selection criteria listed in Section 646.21 of the program regulations. Applicants funded in the 1997-2001 grant year cycle are eligible to receive up to 15 points for prior experience.

B. Regulations applicable to this program are:

(a) Education Department General Administrative Regulations (EDGAR) in 34 CFR Parts 74, 75, 77, 79, 82, 85, and 86; and

(b) Student Support Services Program Regulations- 34 CFR Part 646 (see the application package).

C. Eligible Applicants

Institutions of higher education and combinations of those institutions.

D. Eligible Participants

The Student Support Services projects serve participants if they are enrolled, or accepted for enrollment in the next enrollment period at the applicant institution, and who have a need for academic support in order to successfully pursue a program of postsecondary education. All project participants must also be low-income individuals, first-generation college students, or individuals with disabilities (refer to 34 CFR 646.3).

E. Assurances and Certifications

1. Applicants must submit a signed copy of the SSS Assurances (see Part IV, page 58) with the application.

2. All applicants must include information in their application to address the provisions in Section 427 of the Department of Education's General Education Provision Act (GEPA). Refer to the section entitled "Notice to All Applicants" for specific information.

3. Applicants should also submit other Department of Education certifications with the application. Signed copies of the following: (1) Standard Form 424B

(Assurances--Non-Construction Programs); (2) ED Form 80-0013 (Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements); (3) ED Form 80-0014 (Certification Regarding Lobbying; Debarment, Suspension, Ineligibility and Voluntary Exclusion --Lower Tier Covered Transactions); and (4) Standard Form LLL (Disclosure of Lobbying Activities) included in the application.

F. Information on the Award Process

1. Length of New Award

   Applications for new awards may apply for a maximum of four years of funding. However, only applicants that score in the highest ten percent of all applications approved will be awarded five-year grants (refer to 34 CFR 646.5). The Department of Education will request an additional budget from five-year grantees upon notification of their success.

2. Evaluation of Applications for New Awards

   Each application is reviewed by a panel of experts. Each reviewer will prepare a written evaluation of the application and assign points for each selection criterion. In addition, program staff review the applicant's prior experience, if applicable, and assign prior experience points on the basis of the criteria published in 34 CFR 646.22. These evaluations serve as the sole basis for preparing a rank order of the applications.

3. Selection of New Grantees

   The Director, Office of Federal TRIO Programs, will make funding recommendations to the Deputy Assistant Secretary for Higher Education Programs who approves the recommendations.

4. Partnership Agreements

   The Department of Education is often unable to award the full amount of funds requested. The amount of funds to be awarded will be based on the appropriateness of the expenditures, the reasonableness of the costs, and the need for the services described in the application. The reader's comments are also taken into account and partnership agreements will be developed with successful applicants.

5. Notice to Successful Applicants

   The Department's Office of Legislation and Congressional Affairs will inform the appropriate members of Congress regarding applicants approved for a grant under the program. Successful applicants will be notified by mail shortly after the

Congress is notified. No funding information will be released before the Congress is notified.

6. Notice to Unsuccessful Applicants

Unsuccessful applicants will be notified in writing following the notice to successful applicants.

Guidance on Section 427 of the General Education Provisions Act (GEPA)

Thank you for your interest in this program. The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Pub. L.103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants competing for new grant awards under this program. **All applicants competing for new awards must include information in their applications to address this new provision in order to receive funding under this program.**

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs.

This provision allows applicants discretion in developing the required description**. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age.** Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc., from such access to, or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

(1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.

(2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in Braille for students who are blind.

(3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Information on the Government Performance and Results Act (GPRA)

What is GPRA?

The Government Performance and Results Act of 1993 (GPRA) is a straightforward statute that requires all federal agencies to manage their activities with attention to the consequences of those activities. Each agency is to clearly state what it intends to accomplish, identify the resources required, and periodically report their progress to the Congress. In so doing, it is expected that the GPRA will contribute to improvements in accountability for the expenditures of public funds, improve Congressional decision-making through more objective information on the effectiveness of federal programs, and promote a new government focus on results, service delivery, and customer satisfaction.

How has the Department of Education Responded to the GPRA Requirements?

As required by GPRA, the Department of Education has prepared a strategic plan for 1998-2002. This plan reflects the Department's priorities and integrates them with its mission and program authorities and describes how the Department will work to improve education for all children and adults in the U.S. The Department's goals, as listed in the plan, are:

Goal 1:	*Help all students reach challenging academic standards so that they are prepared for responsible citizenship; further learning, and productive employment.*
Goal 2:	*Build a solid foundation for learning for all children.*
Goal 3:	*Ensure access to postsecondary education and lifelong learning.*
Goal 4:	*Make the Department of Education a high performance organization by focusing on results, service quality, and customer satisfaction.*

The performance indicators for the Federal TRIO Programs are part of the Department's plan for meeting Goal 3: Ensure access to postsecondary education and lifelong learning. Among the Department's objectives for Goal 3 are that "secondary school students get the information and support they need to prepare successfully for postsecondary education" and that "postsecondary students receive the financial aid and support services they need to enroll in and complete their educational program."

What is the Performance Indicator for Student Support Services Program?

The Department's specific goal for the Federal TRIO Programs is "to provide increased educational opportunities for low-income, first-generation students." The specific performance indicator for the Student Support Services program is as follows:

> Student Support Services participants will persist and complete their educational programs.

Instructions for Completing the Application and Forms

The application is divided into five parts. These parts are organized in the same manner that the submitted application should be organized. The sections are as follow:

Part I: Application Face Sheet

Part II: Budget Documents

Part III: Program Narrative

Part IV: SSS Program Assurances

Part V: Prior Experience

Mail **original** and **three copies** of the application to:

U.S. Department of Education
Application Control Center
Attention: (CFDA #: 84.042A)
400 Maryland Avenue, SW
Washington, DC 20202-4725

OR

Hand/Courier Delivery of the **original** and **three copies** of the application to:

U.S. Department of Education
Application Control Center
Attention: (CFDA #: 84.042A)
Room 3633, Regional Office Building #3
7th and D Streets, SW
Washington, DC

According to the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection 1840-0125. The time required to complete this information collection is estimated to average 34 hours per response, including the time to review instructions, search existing data sources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, DC 20202-4651. **If you have any comments or concerns regarding the status of your individual submission of the form, write directly to:** The Office of the Federal TRIO Programs, U.S. Department of Education, 400 Maryland Avenue, SW, (1990 K Street, NW, 7th Floor) Washington, DC 20202-8510.

Part II -- Instructions for Budget Summary and Narrative

Form 524, Section A: BUDGET SUMMARY: U.S. Department of Education Requested Funds

Please use the summary budget form (ED Form No. 524, Sections A and B) to categorize requested costs and non-federal commitment of funds, if any. The detailed budget and any accompanying narrative should provide a detailed breakdown of costs within each budget category and explain the basis for determining the amounts needed for personnel, staff travel, workshop costs, materials preparation, evaluation, and any other costs appropriate for the project.

For this competition, applicants may request funding for up to **four years (48 months).** As part of the Administration's Reinventing Government Initiative, the Department requires that all applicants for multi-year awards provide detailed budget information for the total grant period requested. <u>Thus, summary budget and detailed budget narratives are needed for each 12-month budget period</u>. Department staff will negotiate the funding levels for each year of the grant award at the time of the initial award.

The funding request may include all costs that are reasonable and associated with carrying out the objectives of the Student Support Services program. Among the costs that may be supported with grant funds are:

1. <u>Personnel</u>: Enter project personnel salaries and wages only. Fees and expenses for consultants should be included on line **1**.

2. <u>Fringe Benefits</u>: The institution's normal fringe benefit contribution may be charged to the program. If benefits exceed twenty percent (20%), an explanation and justification must be provided. Leave this blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect costs.

3. <u>Travel</u>: Indicate travel of employees and participants only. Travel of consultants, trainees, etc., may not be included here. Travel costs for consultants should be included under "Contractual".

4. <u>Equipment</u>: Indicate the cost of non-expendable personal property which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. Lower limits may be established to maintain consistency with the applicant's policy.

5. <u>Supplies</u>: Show all tangible personal property except that which is included on line **4**.

6. <u>Contractual</u>: Include consultant travel costs and fees.

7. <u>Construction</u>: Not applicable. Leave blank.

8. Other: Indicate all direct costs not covered on lines 1 through 6. Examples are: equipment rental, required fees, communication costs, rental of space, utilities, custodial services, and printing costs.

9. Total Direct Costs: The sum of lines 1 through 8.

10. Indirect Costs: Indirect costs are limited to eight percent (8%) of a modified total direct cost base. To determine the modified total direct base subtract capital expenditures (equipment) of $5,000 or more from line **8** to the calculate Total Direct Costs.

11. Training Stipends: Not applicable. Leave this blank.

12. Total Cost (line 12): This should equal the sum of lines 9 and 10 (total direct cost plus indirect costs). This amount should also be equal to item 13a on the application face sheet.

Additional instructions for preparing the budget narrative

In the descriptive budget narrative, explain amounts for individual direct object cost categories that may appear to be out of the ordinary and provide the following details:

Personnel/Salaries: Include a statement that shows the total commitment of time and the total salary to be charged to the project for each key member of the project staff. Provide a breakdown of project personnel that includes the position title, the percent of time and number of months committed to the project, and the total salary to be charged to the grant.

Fringe Benefits: Include an explanation and appropriate justification if the institution or agency's normal benefit contribution exceeds 20 percent of salaries.

Staff Travel: Travel expenditures should be detailed as to purpose, objective, and number of persons involved. Transportation costs should not exceed tourist class airfare. For automobile mileage, the established institution or agency rate should be used. Reimbursement is allowed for taxicab, bus, train, or limousine transportation. Per diem at the established institution or agency rate is permitted when an individual is away from home over night on official project business (See OMB Circular A-21, J.48.c - Commercial Air Travel). **No foreign travel will be authorized under the grant**.

The Office of Federal TRIO Programs has developed the following guidelines for recommending approval of travel. All travel must be related to the project's overall purpose and proposed activities.

I. Project Director's Travel – Per Year

A. One National Conference;
B. One Regional Meeting;

C. One State Meeting; and
D. Travel for participation in one professional staff development meeting.

II. Full-time Professional Staff Travel – Per Year

A. One National, Regional, **or** State Meeting; and
B. Travel for staff development under the Training Program for Federal TRIO Programs.

Equipment: List items of equipment in the following format: Item, number of items, cost per unit, total cost. Equipment purchases will only be approved if they are necessary to carry out project activities and are fully justified. (Please remember that equipment is defined as non-expendable personal property which has a usefulness of greater than one year and an acquisition cost of $5,000 or more per unit. However, consistent with an applicant's policy, lower limits may be established.)

Supplies: Itemize costs for project supplies.

Other: Provide a breakdown of all direct costs not clearly covered by other budget categories. Examples are computer-use charges, equipment rentals, communication costs, printing, and consultant services. If the project proposes to use consultants, identify the consultants that will work on the project and the scope of work to be performed by each consultant. Provide a detailed breakdown of the costs (daily fees to be paid, estimated number of days of services, and all travel expenses, including per diem). Cost allowances for consultant fees, honoraria, per diem, and travel should not exceed amounts permitted by comparable institutional or agency policies.

Indirect Cost: Indirect costs are limited to eight percent (8%) of a modified total direct cost base (refer to section 75.560 (c) of the Education Department General Administrative Regulations (EDGAR)).

Part III -- Program Narrative

Prepare the program narrative statement in accordance with the instructions for all new grants in the Education Department Administrative Regulations (EDGAR) in 34 CFR 75.200. The applicant is encouraged to include a one-page abstract of the proposed project.

The Secretary evaluates an application on the basis of the criteria in Section 646.21(a-g), of the Student Support Services Program regulations. The program narrative should provide in detail the information which addresses each selection criterion. The maximum possible score for each completed criterion is indicated in parentheses next to the criterion. The applicant is urged to address the selection criteria in the following order:

1.	Need	(24 points)
2.	Objectives	(8 points)
3.	Plan of Operation	(30 points)
4.	Institutional Commitment	(16 points)
5.	Quality of Personnel	(9 points)
6.	Budget	(5 points)
7.	Evaluation Plan	(8 points)
	Total Maximum Score for Selection Criteria	**100 points**

The above order is suggested since this is the same order in which the Technical Review Form is organized. The Technical Review Form is used by the reviewers to evaluate the application.

Part III of the application shall ***not exceed one hundred (100) typed, double – spaced pages***.

Additional Suggestions:

- Number each page of the application.
- The face sheet is the first page of the application.
- **Do not use any binding**.
- **Do not** include descriptive materials (brochures, reports, etc.) which are not requested.

Definitions

A. An "individual with disabilities" means a person who has a diagnosed physical or mental impairment that substantially limits that person's ability to participate in the education experiences and opportunities offered by the grantee institution.

B. A "low-income individual" means an individual whose family's taxable income did not exceed 150 percent of the poverty level in the calendar year preceding the year in which the individual participated in the project.

C. A "first-generation college student" means:

   (1) A student, neither of whose natural or adoptive parents received a baccalaureate degree; or

   (2) A student, who resided with and received support from only one parent, and whose parent did not receive a baccalaureate degree.

Part IV – Student Support Services Program **ASSURANCES**

As the duly authorized representative of the applicant, I certify that the applicant will comply with the following statutory requirements:

1. The applicant assures that two-thirds of the persons that will be participating in the project will be individuals with disabilities; or be low-income individuals who are first-generation college students.

2. The applicant assures that the remaining students participating in the project be will either low-income individuals, first generation college students, or individuals with disabilities.

3. The applicant assures that one-third of the individuals with disabilities participating in the project will be low-income individuals.

4. The applicant assures to provide, if needed, information on the institution's efforts in providing sufficient financial assistance to meet the student's full financial need.

5. The person or persons whose signature(s) appear(s) is/are authorized to sign this application, and to commit the applicant to the above provisions.

____
Signature of Authorized Certifying Official

____
Title of Authorized Certifying Official

____________________________________ __________
Application Organization Date Signed

Part V -- Prior Experience

This part is to be completed only by those applicants that have been funded within the 1997-2001 grant cycle. This grant cycle started September or October 1, 1997 for four-year awards and September 1, 1998 for five-year awards.

If an applicant for a new grant proposes to continue to serve substantially the same population or campus that the applicant is serving under the expiring grant, the Secretary evaluates the applicant's prior experience in delivering services under the expiring grant on the basis of the prior experience criteria in Section 646.22 of the SSS program regulations. However, if the applicant has submitted the annual performance reports, the applicant needs only to provide the information needed to evaluate the applicant's prior experience that is not covered by the performance reports. **Based on the success of the project's prior experience, an applicant may receive up to fifteen (15) points.**

NOTE:

<u>For Program Years 1997-98 and 1998-99:</u>

The due date for submitting performance reports for these years is now past. No changes or modifications to the information on file with the Department will be accepted.

<u>For Program Year 1999-2000:</u>

The applicant should submit a detailed report on the project's accomplishments to date, which specifically reports information which addresses each of the prior experience criteria as contained in subsection 646.22 (Prior Experience) of the SSS program regulations.

Important Notice to Prospective Participants in U.S. Department of Education Contract and Grant Programs

Grants

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for all grant applications. Prospective applicants can avoid disappointment if they understand that:

> **Failure to meet a deadline will mean that an application will be rejected without consideration.**

The rules, including the deadline, for applying for each grant are published, individually, in the *Federal Register*. A one-year subscription to the Register may be obtained by sending $340.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, DC 20402-9371. (Send check or money order only, no cash or stamps)

The instructions in the *Federal Register* must be used. Do not accept any other advice. No ED employee is authorized to extend any deadline published in the Register.

Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, DC 20202-4725

Contracts

Competitive procurement actions undertaken by ED are governed by the Federal Procurement Regulations and implementing ED Procurement Regulation.

Generally, prospective competitive procurement actions are synopsized in the Commerce Business Daily (CBD). Prospective offers are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP).

Offers are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP.

Offers are judged in competition with others and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP.

A subscription to the CBD is available for $208.00 per year via second class mailing of $261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

> Superintendent of Documents
> U.S. Government Printing Office
> Washington, DC 20402-9371

In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may, therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.